

Contents

	Page
Foreword	v
Introduction	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Principles	4
4.1 General.....	4
4.2 Impartiality.....	4
4.3 Competence.....	5
4.4 Responsibility.....	5
4.5 Openness.....	5
4.6 Confidentiality.....	6
4.7 Responsiveness to complaints.....	6
4.8 Risk-based approach.....	6
5 General requirements	6
5.1 Legal and contractual matters.....	6
5.1.1 Legal responsibility.....	6
5.1.2 Certification agreement.....	7
5.1.3 Responsibility for certification decisions.....	7
5.2 Management of impartiality.....	7
5.3 Liability and financing.....	9
6 Structural requirements	9
6.1 Organizational structure and top management.....	9
6.2 Operational control.....	9
7 Resource requirements	10
7.1 Competence of personnel.....	10
7.1.1 General considerations.....	10
7.1.2 Determination of competence criteria.....	10
7.1.3 Evaluation processes.....	10
7.1.4 Other considerations.....	10
7.2 Personnel involved in the certification activities.....	10
7.3 Use of individual external auditors and external technical experts.....	11
7.4 Personnel records.....	12
7.5 Outsourcing.....	12
8 Information requirements	12
8.1 Public information.....	12
8.2 Certification documents.....	13
8.3 Reference to certification and use of marks.....	14
8.4 Confidentiality.....	15
8.5 Information exchange between a certification body and its clients.....	15
8.5.1 Information on the certification activity and requirements.....	15
8.5.2 Notice of changes by a certification body.....	16
8.5.3 Notice of changes by a certified client.....	16
9 Process requirements	16
9.1 Pre-certification activities.....	16
9.1.1 Application.....	16
9.1.2 Application review.....	16
9.1.3 Audit programme.....	17
9.1.4 Determining audit time.....	18
9.1.5 Multi-site sampling.....	18
9.1.6 Multiple management systems standards.....	19

9.2	Planning audits.....	19
9.2.1	Determining audit objectives, scope and criteria.....	19
9.2.2	Audit team selection and assignments.....	19
9.2.3	Audit plan.....	21
9.3	Initial certification.....	22
9.3.1	Initial certification audit.....	22
9.4	Conducting audits.....	23
9.4.1	General.....	23
9.4.2	Conducting the opening meeting.....	23
9.4.3	Communication during the audit.....	24
9.4.4	Obtaining and verifying information.....	24
9.4.5	Identifying and recording audit findings.....	25
9.4.6	Preparing audit conclusions.....	25
9.4.7	Conducting the closing meeting.....	25
9.4.8	Audit report.....	26
9.4.9	Cause analysis of nonconformities.....	27
9.4.10	Effectiveness of corrections and corrective actions.....	27
9.5	Certification decision.....	27
9.5.1	General.....	27
9.5.2	Actions prior to making a decision.....	28
9.5.3	Information for granting initial certification.....	28
9.5.4	Information for granting recertification.....	28
9.6	Maintaining certification.....	28
9.6.1	General.....	28
9.6.2	Surveillance activities.....	29
9.6.3	Recertification.....	30
9.6.4	Special audits.....	31
9.6.5	Suspending, withdrawing or reducing the scope of certification.....	31
9.7	Appeals.....	31
9.8	Complaints.....	32
9.9	Client records.....	33
10	Management system requirements for certification bodies.....	34
10.1	Options.....	34
10.2	Option A: General management system requirements.....	34
10.2.1	General.....	34
10.2.2	Management system manual.....	34
10.2.3	Control of documents.....	34
10.2.4	Control of records.....	35
10.2.5	Management review.....	35
10.2.6	Internal audits.....	36
10.2.7	Corrective actions.....	36
10.3	Option B: Management system requirements in accordance with ISO 9001.....	36
10.3.1	General.....	36
10.3.2	Scope.....	37
10.3.3	Customer focus.....	37
10.3.4	Management review.....	37
	Annex A (normative) Required knowledge and skills.....	38
	Annex B (informative) Possible evaluation methods.....	41
	Annex C (informative) Example of a process flow for determining and maintaining competence.....	43
	Annex D (informative) Desired personal behaviour.....	45
	Annex E (informative) Audit and certification process.....	46
	Bibliography.....	48